



Agency Audit Checklist

Rev. 3.17

Agency: _____

Officer Name: _____

Date: _____

DAP: _____

CERTIFICATION TYPE:

☐ Gen. ☐ Prob. ☐ GF

STATUS:

☐ Initial Employment ☐ Lateral employment 12 NCAC 09C .0306 eff. '81
(Prior certified - Less than 12 month break in service)

☐ Reserve ☐ Full-Time

THIS MAY OR MAY NOT BE PRESENT IN THE FILE (PER CODE)

☐ (REPORT) OF APPOINTMENT (F-5A LE) (VERIFY CHARGES LISTED AGAINST F-3) (Form rev 5/09) Eff. 1981; PER F-5A IS REQUIRED IN FILE BUT NOT REQUIRED IN THE CODE

REQUIRED TO BE PRESENT IN THE FILE (PER CODE)

☐ CERTIFICATION (OFFICIAL NOTIFICATION OF PROBATIONARY OR GENERAL MUST BE IN FILE)
EFF. 1981; 12 NCAC 09C .0307 and 12 NCAC 09C .0306 (All Officers)

☐ OATH OF OFFICE; N.C. Gen. Stat. § 11-7 and 12 NCAC 09C.0303 (All Officers)

☐ MINIMUM AGE OF 20 REQUIRED (12 NCAC 09B .0101 (2)) EFF. 1981 (Birth Cert.)** This is a minimum requirement for certification of all officers and must be documented in the Attachment 1 section of the Form F-8 and verified by the investigator on Page 3 of the Form F-8.
(Initial Hiring Agency)

☐ PROOF OF EDUCATION (IF HIGH SCHOOL EQUIVALENCY, NEED CERTIFIED RESULTS; IF PRIVATE/HOME SCHOOL, NEED STATE ACCREDITATION DOCUMENTATION) (H.S. Diploma/GED/College Degree) 09B .0111 (2); 09C .0307 (6)
(Initial Hiring Agency)

☐ PROOF OF CITIZENSHIP (BIRTH OR NATURALIZATION CERT) EFF '81 12 NCAC 09B .0101(1) (Birth Cert) This is a minimum requirement for certification of all officers and must be documented in the Attachment 1 section of the Form F-8 and verified by the investigator on Page 3 of the Form F8.
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- ☐ RESULTS OF FP RECORD CHECK (MUST RETAIN REGARDLESS OF DISPOSITION)
EFF '81; 12 NCAC 09C .0307(8) and 12 NCAC 09C .0306 (Look for paper result) (All Officers)
- ☐ MEDICAL HISTORY STATEMENT (F-1 LE) (1 YEAR PRIOR TO EMPLOYMENT) Form rev
02/10**EFFECTIVE 4/1/1985; 12 NCAC 09C .0307(2) and 12 NCAC 09C .0306 (Must be signed)
(All Officers)
- ☐ MEDICAL EXAMINATION REPORT (F2LE) (1 YEAR PRIOR TO EMPLOYMENT) Form rev
11/08**EFFECTIVE 4/1/1985; Signed by a licensed physician; 12 NCAC 09C .0307(2) and
12 NCAC 09C .0306 (Must be signed) (All Officers)
- ☐ DRUG SCREENING RESULTS (WITHIN 60 DAYS PRIOR TO DATE OF HIRE) (CALCULATED
FROM DATE LAB REPORTS RESULTS AND DATE OF HIRE) EFF. 7/1/90
12 NCAC 09C .0307 (3) and 12 NCAC 09C .0306 (All Officers)
- ☐ PSYCHOLOGICAL EXAM RESULTS (1 YEAR PRIOR TO EMPLOYMENT) (WRITTEN
SUMMARY) (EFF. 1/1/95) 12 NCAC 09C .0307(9) (Initial Hiring Agency)
- ☐ PERSONAL HISTORY STATEMENT (F3) (1 YEAR PRIOR TO EMPLOYMENT)
(COMPLETED/SIGNED/NOTARIZED) Form rev 02/08; EFF '81; 12 NCAC 09C.0307(1)
(Initial Hiring Agency)
- ☐ (QUALIFICATIONS) APPRAISAL INTERVIEW (F-4) (1 YEAR PRIOR TO EMPLOYMENT OR
AGENCY ALTERNATIVE) Form rev 08/00; EFF 1981; **THIS FORM IS NOT REQUIRED
HOWEVER WRITTEN SUMMARY OF QUALIFICATIONS MUST BE IN FILE; 12 NCAC 09C
.0307(5) MUST BE INTERVIEWED BY DEPT. HEAD OR REPRESENTATIVE**
(Initial Hiring Agency)
- ☐ MANDATED BACKGROUND INVESTIGATION (F8) (1 YEAR PRIOR TO EMPLOYMENT)
(SIGNED BY INVESTIGATOR) Form rev 4/98; EFF. 1981; 12 NCAC 09C .0307(4) and 12 NCAC
09B .0102 (C) "THE INVESTIGATOR SHALL DOCUMENT THE RESULTS...IN THE REPORT OF
INVESTIGATION."
(Initial Hiring Agency)
- ☐ FIREARMS QUALIFICATION (F-9A) (1 YEAR PRIOR TO DAP); EFF. 1981; Form rev 2/07
**Lateral may use prior agency if less than one year and use same type of weapon; Form F-9A and 09E
.0104(3). The Form F-9A requires that a copy of this form must be maintained in each officer's
personnel file and must be available for inspection by a Commission Staff member.**
12 NCAC 09C .0306 (All Officers)



Agency Audit Checklist
2016 MIST

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- ☐ Firearms Training and Qualification (6) credits
- ☐ Legal Update (4) credits
- ☐ JMST: The Color of Justice (2) credits
- ☐ Human Trafficking Awareness (2) credits
- ☐ N.C. Firearms Laws: Citizens and Guns (2) credits

NCJA Topics:

- ☐ Law Enforcement Intelligence Update (4) credits
- ☐ Body-Worn Cameras/Video Evidence (2) credits
- ☐ Recovery of Mobile Devices and Preservation of Electronic Evidence (2) credits
- ☐ Leadership: Modeling Appropriate Behavior (2) credits

2015 MIST

- ☐ Legal Update (4) credits
- ☐ Firearms (6) credits
- ☐ JMST: A Juvenile – What Does It Have To Do With Me? (2) credits
- ☐ Domestic Violence – Teen Dating Violence (2) credits
- ☐ Department Topic of Choice (10) credits
 - ☐ Officer Safety: Use of Force Overview (4) credits
 - ☐ Public Safety: Storm Spotting (2) credits
 - ☐ Law Enforcement Intelligence Update (2) credits
 - ☐ Missing and Abducted Children (2) credits
 - ☐ Emotional Survival (2) credits
 - ☐ Active Shooter Overview (2) credits

CJ Standards Staff: Please check boxes for the section(s) which you have reviewed.

File in Compliance: ☐ Yes ☐ No

Follow-up Required: ☐ Yes ☐ No

Comments: